



\$ Seabrook #3

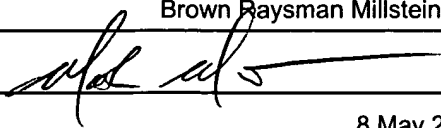
Please type a plus sign (+) inside the box → +

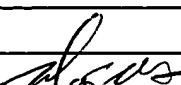
PTO/SB/21 (12-97)
Approved for use through 9/30/00. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/760,196
	Filing Date	January 12, 2001
	First Named Inventor	Susanne Vindekilde
	Group Art Unit	2161
	Examiner Name	Not yet assigned
Total Number of Pages in This Submission	Attorney Docket Number	3524/12

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	- Preliminary Amendment
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	- Request for Corrected Filing Receipt
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Includes substitute drawing sheets for Figures 1-9 (9 pp)	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Matthew J. Marquardt, Reg. No. 40,997 Brown Raysman Millstein Felder & Steiner LLP
Signature	
Date	8 May 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 8 May 2001	
Typed or printed name	Matthew J. Marquardt
Signature	
Date	8 May 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



#3

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) \$1,588.00

Complete if Known

Application Number	09/760,196
Filing Date	January 12, 2001
First Named Inventor	Susanne Vindekilde
Examiner Name	Not yet assigned
Group Art Unit	2161
Attorney Docket No.	3524/12

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-4270
Deposit Account Name Brown Raysman Millstein Felder & Steiner LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
		101	710	201 355 Utility filing fee	\$710.00
		106	320	206 160 Design filing fee	
		107	490	207 245 Plant filing fee	
		108	710	208 355 Reissue filing fee	
		114	150	214 75 Provisional filing fee	

SUBTOTAL (1) (\$) \$710.00

2. EXTRA CLAIM FEES

Total Claims 26 -20** = 6 X 18 = \$108.00
Independent Claims 10 -3** = 7 X 80 = \$560.00
Multiple Dependent =

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
		103	18	203 9 Claims in excess of 20
		102	80	202 40 Independent claims in excess of 3
		104	270	204 135 Multiple dependent claim, if not paid
		109	80	209 40 ** Reissue independent claims over original patent
		110	18	210 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) \$668.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
		105	130	205 65 Surcharge - late filing fee or oath	130
		127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
		139	130	139 130 Non-English specification	
		147	2,520	147 2,520 For filing a request for ex parte reexamination	
		112	920*	112 920* Requesting publication of SIR prior to Examiner action	
		113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
		115	110	215 55 Extension for reply within first month	
		116	390	216 195 Extension for reply within second month	
		117	890	217 445 Extension for reply within third month	
		118	1,390	218 695 Extension for reply within fourth month	
		128	1,890	228 945 Extension for reply within fifth month	
		119	310	219 155 Notice of Appeal	
		120	310	220 155 Filing a brief in support of an appeal	
		121	270	221 135 Request for oral hearing	
		138	1,510	138 1,510 Petition to institute a public use proceeding	
		140	110	240 55 Petition to revive - unavoidable	
		141	1,240	241 620 Petition to revive - unintentional	
		142	1,240	242 620 Utility issue fee (or reissue)	
		143	440	243 220 Design Issue fee	
		144	600	244 300 Plant issue fee	
		122	130	122 130 Petitions to the Commissioner	
		123	50	123 50 Petitions related to provisional applications	
		126	240	126 240 Submission of Information Disclosure Stmt	
		581	40	581 40 Recording each patent assignment per property (times number of properties)	80
		146	710	246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
		149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
		179	710	279 355 Request for Continued Examination (RCE)	
		169	900	169 900 Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \$210.00

SUBMITTED BY

Name (Print/Type)	Matthew J. Marquardt	Registration No. (Attorney/Agent)	40,997	Telephone	(212) 944-1515
Signature		Date	8 MAY 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



A3

3524/12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Susanne Vindekilde

Appln. No. : 09/760,196

Examiner : Not yet assigned

Filed : January 12, 2001

Group Art Unit: 2161

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF
COMMERCIAL PAPER AND OTHER INTERESTS

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

We acknowledge receipt of the Notice To File Missing Parts of Application--Filing Dated
Granted dated March 8, 2001. Enclosed in response to said Notice are:

- Transmittal Sheet
- Fee Transmittal
- Copy of the Notice
- Executed Declaration
- Check for \$1,588 (covering filing fees of \$1,378, surcharge fee of \$130, and assignment
recordal fee of \$80)
- Substitute drawing sheets for Figures 1 – 9.

The Commissioner is hereby authorized to charge any additional fees which may be
required or credit any overpayment to our Deposit Account No. 02-4270.

I hereby certify that this paper, together with any paper referred to as enclosed or attached, is being deposited this date with the U.S. Postal Service as First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

Dated: 8 May 2001



Matthew J. Marquardt

Reg. No. 40,997

BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP

120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

A copy of this notice MUST be returned with the reply.

C-1
Customer Service Center
Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/760,196	01/12/2001	Susan Vindekilde	3524/12

CONFIRMATION NO. 2676

FORMALITIES LETTER



OC000000005840944

Frank J. DeRosa
Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, NY 10036

Date Mailed: 03/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$668.
 - \$108 for 6 total claims over 20.
 - \$560 for 7 independent claims over 3 .
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1508.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

05/16/2001 WR0CHA1 00000042 09760196

710.00 00
560.00 00
108.00 00
130.00 00

01 FC:101
02 FC:102
03 FC:103
04 FC:105



3524/12

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Susanne Vindekilde

Serial No. : 09/760,196 Examiner: Not yet assigned

Filing Date : January 12, 2001 Art Unit: 2161

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF
COMMERCIAL PAPER AND OTHER INTERESTS

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Please change the following information in the filing receipt in the Applicant(s) section.

Delete "Susan" and insert in its place -Susanne--.

A copy of the filing receipt with the change noted thereon is enclosed. Issuance of a corrected filing receipt is respectfully requested.

Respectfully submitted,

Dated: 8 MAY 2001

Matthew J. Marquardt
Reg. No. 40,997
BROWN RAYSMAN MILLSTEIN FELDER
& STEINER LLP
120 West Forty-Fifth Street
New York, New York 10036
(212) 944-1515

I hereby certify that this paper is being deposited this date with the
U.S. Postal Service as First Class Mail addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231

Matthew J. Marquardt

8 MAY 2001
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/760,196	01/12/2001	2161	0.00	3524/12	9	26	10

CONFIRMATION NO. 2676

FILING RECEIPT



OC000000005840943

Frank J. DeRosa
Brown Raysman Millstein Felder & Steiner LLP
120 West 45th Street
New York, NY 10036

Date Mailed: 03/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

~~Susan~~ Vindekilde, Residence Not Provided;
Susanne

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 03/07/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

System and method for listing offerings of commercial paper and other interests

Preliminary Class

705

RECORDS UPDATED

03/12/01 *Te*